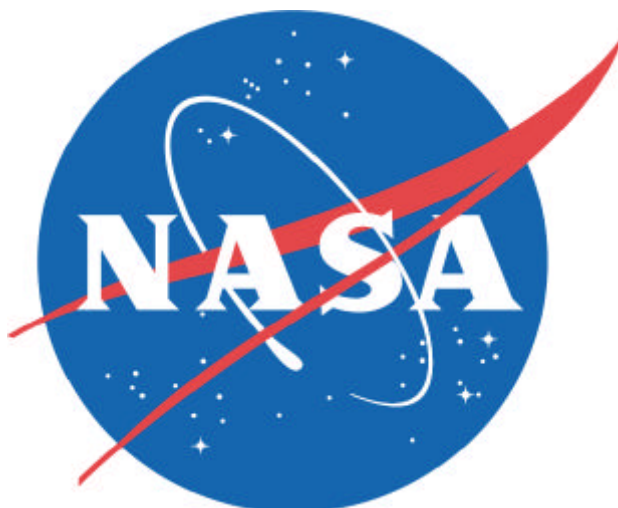


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Research Programs Management Division (Code SR)

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**Subject: Announcement of Opportunity (AO) for Science  
Flight Missions**

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**NASA Headquarters  
Office of Space Science (OSS)**

**Office Work Instruction**

**Announcement of Opportunity (AO)  
for Science Flight Missions**

Approved by: (Original signed by Dr. Earle K. Huckins) Date: (11/16/1999)  
Dr. Earle K. Huckins  
Deputy Associate Administrator for Space Science

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### DOCUMENT HISTORY LOG

STATUS (BASELINE/ REVISION/ CANCELED)	DOCUMENT REVISION	EFFECTIVE DATE	DESCRIPTION
Baseline		02/02/1999	<ul style="list-style-type: none"><li>Initial "baseline" version of the OWI.</li></ul>
Revision	A	05/10/1999	<ul style="list-style-type: none"><li>Incorporates modifications responsive to NCRs #293, #302, #303, #311, #315, #317, and #324 from the NASA HQ ISO-9001 Pre-Assessment audit.</li></ul>
Revision	B	11/16/1999	<ul style="list-style-type: none"><li>Incorporates modifications from SSE Process Owner (e.g., NPG 7120.5 certification) into Section 5, Section 6, and Section 7.</li><li>Revises set of quality records in Section 5 and Section 7.</li><li>Revises quality-record information in Section 7.</li><li>Incorporates recent terminology and format standardization.</li></ul>

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## **Subject: Announcement of Opportunity (AO) for Science Flight Missions**

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**1. PURPOSE** The purpose of this Office Work Instruction (OWI) is to define the process by which the Office of Space Science (OSS) generates and issues Broad Agency Announcements (BAA's) of solicitations of investigations in the category of Announcements of Opportunity (AO's).

### **2. SCOPE AND APPLICABILITY**

2.1 One of the most important activities of a science manager in OSS is the solicitation and selection of research investigations for NASA funding. The distinguishing characteristic of all NASA BAA's is that they solicit ideas for basic research investigation, the end result of which is new knowledge and sometimes data that are to be made publicly available at the conclusion of the investigation.

2.2 AO's are used to solicit and competitively select basic research investigations characterized as having a well defined purpose, end product, and/or service (e.g., investigations with hardware responsibility for a unique space-flight mission, a program of flight missions, or unique but large-cost non-flight programs). AO's can also be used for selection of a science team for a flight mission, with responsibility only for data analysis and mission operations.

2.3 Investigations selected via AO's can range in cost from a few hundred thousand dollars to several hundred million dollars.

2.4 The key features of an AO are the relative uniqueness of the opportunity and the fact that the supporting budget is usually a unique line item authorized by Congress.

2.5 Education and outreach programs are required components of all proposals submitted in response to OSS AO's. Program scientists are responsible for ensuring that AO's contain appropriate education and outreach language.

2.6 AO's must conform to high standards for completeness, clarity, and style and must comply with applicable Federal Acquisition Regulations (FAR's) and NASA FAR Supplements (NFS's).

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- 2.7 AO's must be publicly announced in the *Commerce Business Daily* (CBD) fifteen calendar days in advance of their formal release (a FAR requirement) and must be openly available to the public on their advertised release date.
- 2.8 Proposals submitted in response to AO's are subjected to full peer review for scientific, technical, fiscal, and programmatic merits.
- 2.9 A designated Selecting Official selects qualified proposals of merit within the limits of the available program budget.
- 2.10 The Senior Program Executive for Review and Evaluation oversees the preparation, approval, and release of all OSS AO's.
- 2.11 Basic research investigations do not lend themselves to specific performance or engineering specification. Consequently, standard requests for proposals (RFP's) are not used to solicit OSS research proposals.

### **3. DEFINITIONS**

- 3.1 Categorization Subcommittee. Subcommittee of the Space Science Steering Committee empowered to categorize proposals per NASA FAR Supplement (NFS) 1872.
- 3.2 Code G. NASA Headquarters Office of the General Counsel.
- 3.3 Code H. NASA Headquarters Office of Procurement.
- 3.4 Code I. NASA Headquarters Office of External Relations.
- 3.5 Code S. NASA Headquarters Office of Space Science.
- 3.6 Non-conflicted reviewer. Scientific peers who have no real or apparent financial interests, institutional affiliations, professional biases and associations, or familiar relationships with AO proposers or their institutions.

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- 3.7            Notice of Intent. A notice or letter submitted by a potential investigator indicating the intent to submit a proposal in response to an AO.
- 3.8            Peer Review. The process of proposal review utilizing a group of peers, by mail and/or meeting in panel, in accordance with the evaluation criteria stated in an AO.
- 3.9            Program Scientist. In accordance with delegation authority from the Associate Administrator for Space Science, responsible for: providing science policy, strategy, and standards that support OSS goals and standards; determining science objectives, goals, and requirements; approving principal program documents; providing science leadership for the program, and assessing science performance.
- 3.10          Selecting Official. NASA official designated to determine the source for award of a contract or grant.
- 3.11          Space Science Steering Committee (SSSC). The panel appointed by the Associate Administrator for Space Science in accordance with NASA FAR Supplement (NFS) 1872 that is empowered to review all documentation and processes leading to a recommendation for selection of proposals submitted in response to an AO.
- 3.12          Technical/Management/Cost/Outreach (TMCO). The series of evaluation factors against which proposals are graded in addition to their scientific merit.

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### **4. REFERENCES**

- |      |                          |   |
|------|--------------------------|---|
| 4.1  | ANSI/ISO/ASQC Q9001-1994 | American National Standard, Quality Systems --<br>Model for Quality Assurance in Design,<br>Development, Production, Installation, and<br>Servicing |
| 4.2  | HCP1280-2                | Corrective and Preventive Action  |
| 4.3  | HCP1280-3                | Internal Quality Audits   |
| 4.4  | HCP1400-1                | Document and Data Control   |
| 4.5  | HCP3410-4                | Employee Training   |
| 4.6  | HQPC1150.1               | NASA Headquarters Quality Council Policy<br>Charter   |
| 4.7  | HQSM1200-1               | NASA Headquarters Quality System Manual   |
| 4.8  | NFS 1872.503             | NASA FAR Supplement   |
| 4.9  | NHB 1101.3               | NASA Organization Handbook  |
| 4.10 | NHB 5100.4               | NASA FAR Supplement Part 1872.0<br>Acquisition of Investigations  |
| 4.11 | NHB 5100.4               | NASA FAR Supplement Part 1872.505<br>Debriefing Proposers   |
| 4.12 | NPD 1000.1               | NASA Strategic Plan   |
| 4.13 | NPD 8730.3               | NASA Quality Management System Policy (ISO<br>9000)   |
| 4.14 | NPG 1000.2               | NASA Strategic Management Handbook  |
| 4.15 | NPG 1441.1               | NASA Records Retention Schedules (NRRS)   |
| 4.16 |                          | NASA Budget   |

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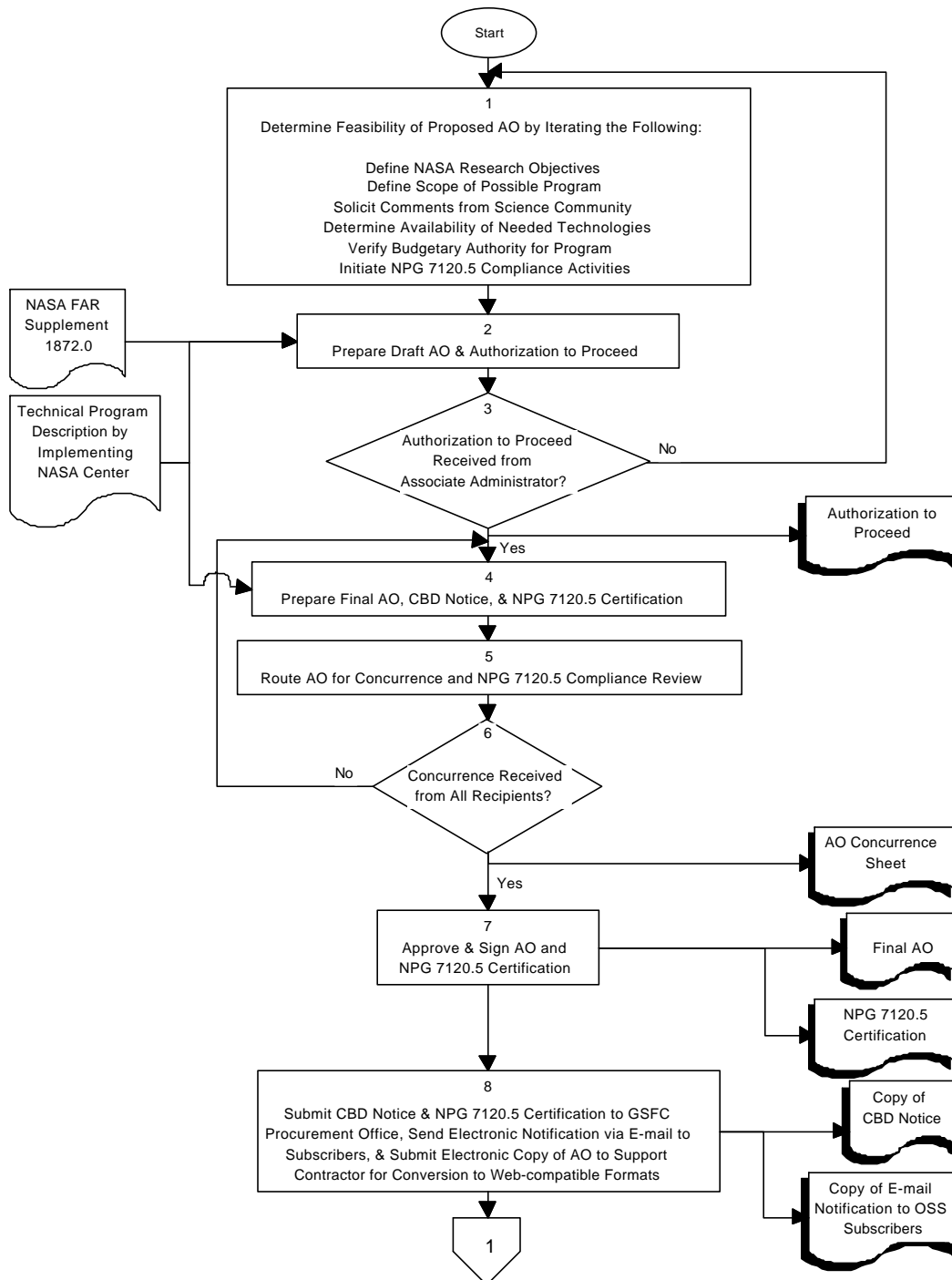
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### 5. FLOWCHART

[NOTE: "Quality records" are identified via shadowing of their ANSI symbols.]

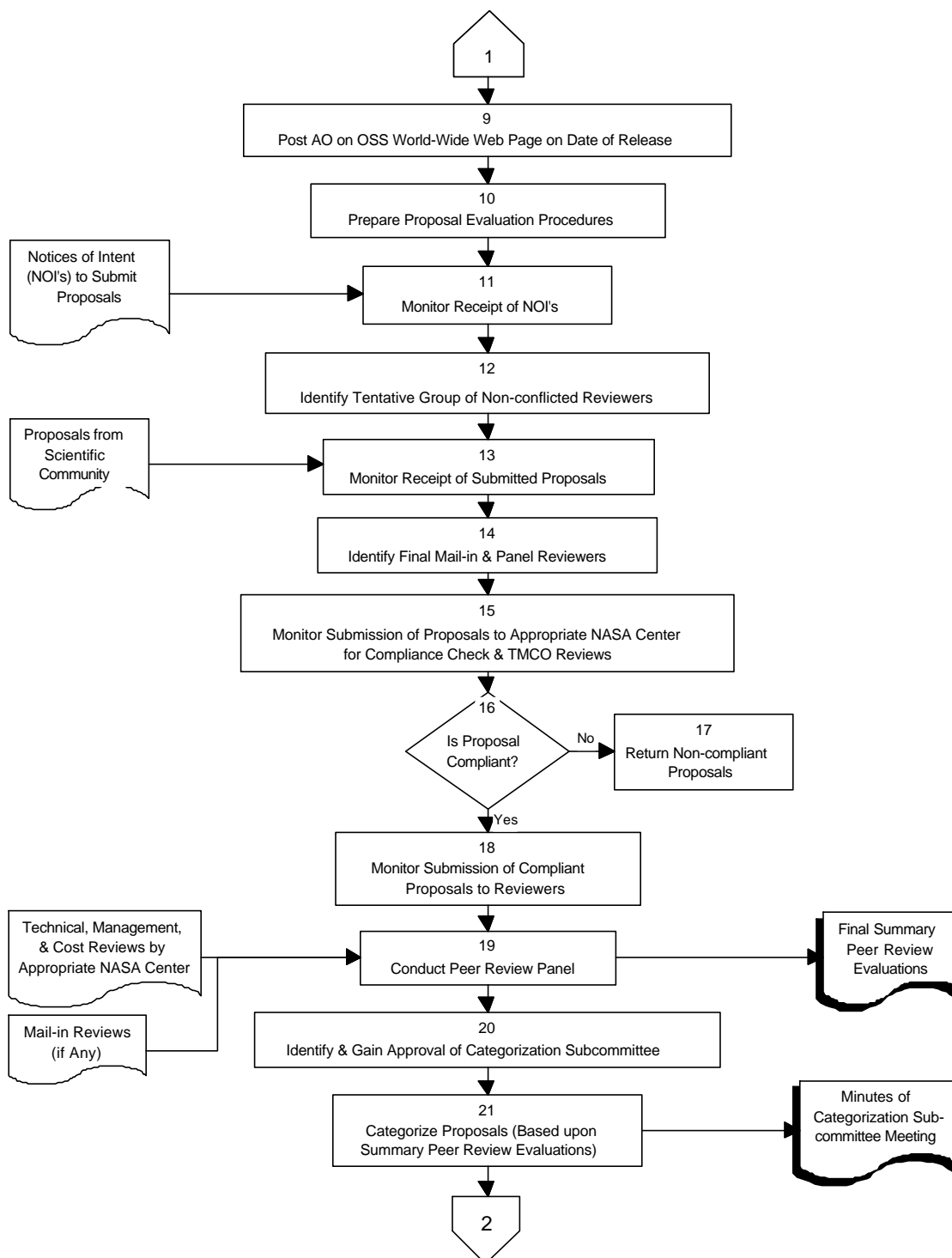


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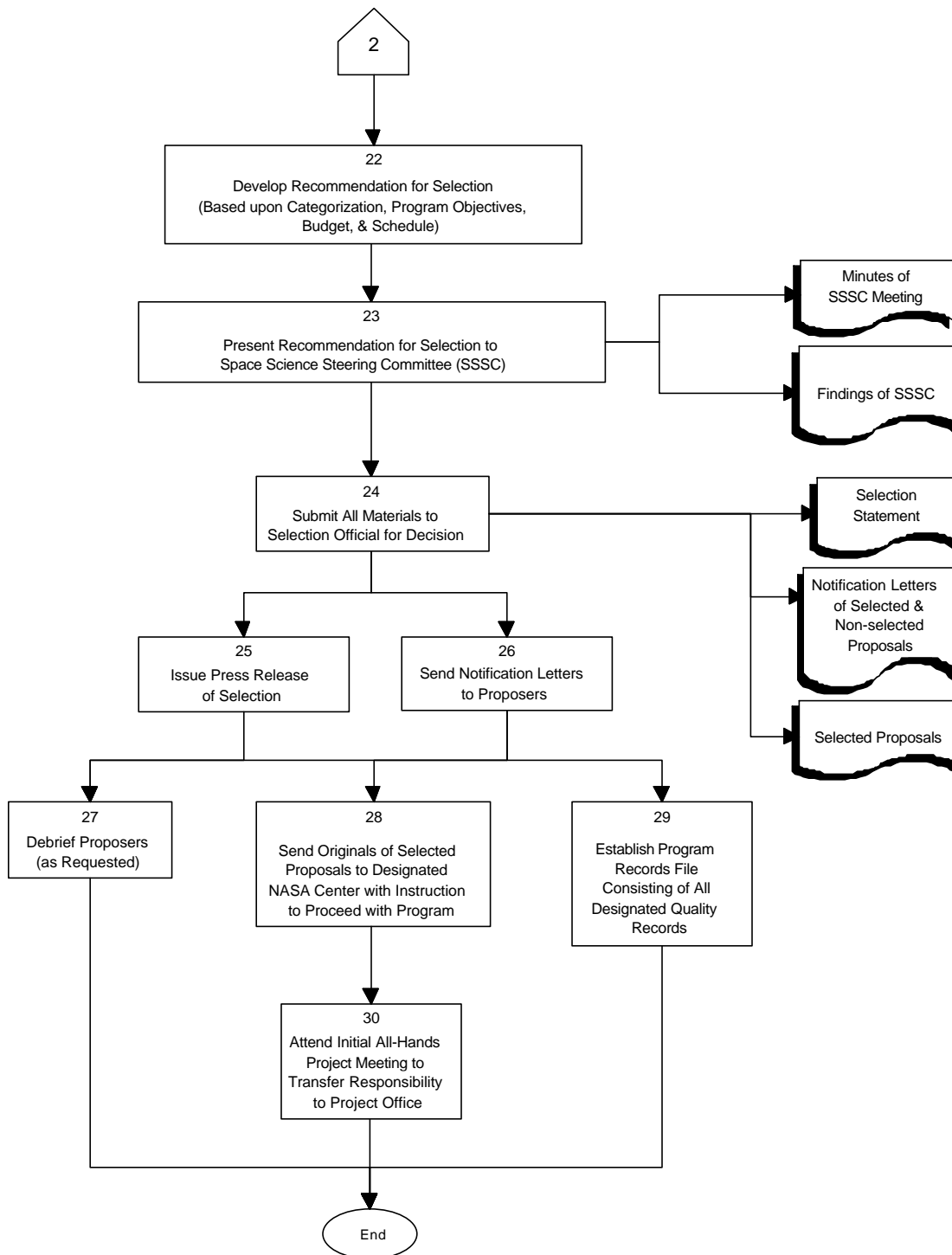
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### 6. PROCEDURE

[NOTE: The following sequence of process steps is numbered in accordance with the number assigned to each corresponding function block in the flowchart in Section 5.]

<u>STEP #</u>	<u>ACTION OFFICERS</u>	<u>DESCRIPTION</u>
1	Program Scientist	<p>Determine the feasibility of a proposed AO by iterating the following:</p> <ul style="list-style-type: none"> <li>• Define NASA research objectives</li> <li>• Define the scope of a possible program</li> <li>• Solicit comments from the science community</li> <li>• Determine the availability of needed technologies</li> <li>• Verify budgetary authority for the program</li> <li>• Initiate NPG 7120.5 compliance activities</li> </ul> <p>[NOTE: These activities occur in parallel in an iterative manner.]</p>
2	Program Scientist	Prepare the draft AO and solicit and incorporate comments and recommendations on it from all responsible personnel within OSS as well as the NASA Headquarters Office of Procurement and Office of General Counsel.
3	Program Scientist	If authority to proceed with issuance of the possible AO and designation of the cognizant Program Scientist is received from the Associate Administrator for Space Science, proceed to Step #4. If authority to proceed is denied by the Associate Administrator for Space Science, return to Step #1.
4	Program Scientist	Prepare the final version of the AO and the notice summarizing the purpose and content of the AO for publication via the <i>Commerce Business Daily</i> (CBD).
5	Program Scientist	Submit the final version of the AO to the OSS Senior Science Program Executive for Review and Evaluation for review and concurrence and establishment of the appropriate concurrence list.
6	Program Scientist	Determine whether any of the reviewers of the final version of the AO have non-concurred. If not, submit the AO for approval

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and signature per Step #7. If non-concurrences have been received (e.g., from Code S, Code I, Code H, and/or Code G), revise the AO as appropriate and repeat the review cycle in Steps #4 and #5.

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| 7  | Designated<br>Selecting<br>Official                      | The Associate Administrator for Space Science or a Science Program Director (as appropriate) approves and signs the final AO and the NPG 7120.5 Certification.   |
| 8  | Program<br>Support<br>Specialist                         | Send the <i>Commerce Business Daily</i> (CBD) notice to the Goddard Space Flight Center (GSFC) Procurement Office which then publicly announces the forthcoming AO via the CBD fifteen calendar days prior to formal release of the AO. The notice is also sent out through the OSS Electronic Notification System to all subscribers. Submit an electronic copy of the AO to the OSS Support Contractor for conversion into Web-compatible formats. |
| 9  | Program<br>Support<br>Specialist<br>Program<br>Scientist | The Program Support Specialist posts the AO on the OSS World-Wide Web home page on its advertised date of release. The Program Scientist verifies compliance with this requirement and notifies the Program Support Specialist of any instances of noncompliance.  |
| 10 | Program<br>Scientist                                     | Prepare proposal-evaluation procedures.  |
| 11 | Program<br>Scientist                                     | Monitor the OSS Support Contractor's activities of processing Notices of Intent (NOI's) to submit proposals. OSS <i>requests</i> that all interested proposers submit NOI's. Although these NOI's are not mandatory, they facilitate OSS selection of peer reviewers of submitted proposals by identifying prospective proposers who are ineligible to serve as peer reviewers.  |
| 12 | Program<br>Scientist                                     | Identify a tentative group of non-conflicted reviewers of proposals that are expected to be submitted in response to the AO, based upon NOI's and upon research areas expected in proposals.   |
| 13 | Program<br>Scientist                                     | Monitor the OSS Support Contractor's activities of receiving, sorting, and logging all submitted proposals.  |

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| 14 | Program Scientist           | Identify the final mail-in and panel reviewers, based upon actual proposers and proposed research objectives and technologies.  |
| 15 | Program Scientist           | Monitor the OSS Support Contractor's activity of sending the proposals to the appropriate NASA Center for check on compliance and TMCO reviews.   |
| 16 | Program Scientist           | Based upon the activity in Step #15, determine whether each proposal is compliant with the AO requirements. For non-compliant proposals, proceed to Step #17. For compliant proposals, proceed to Step #18.   |
| 17 | Program Scientist           | Return non-compliant proposals to their submitters.   |
| 18 | Program Scientist           | Monitor the OSS Support Contractor's activity of sending copies of received proposals to all designated reviewers. Some of these reviewers may conduct a "remote" review and submit their evaluations via postal or electronic mail. Other reviewers will participate in an "on-site" review panel.   |
| 19 | Program Scientist           | Convene the Peer Review Panel to review and evaluate each proposal. Technical, management, and cost-review inputs (generated in Step #18) from the appropriate NASA Center are examined by the Peer Review Panel(s). The Panel(s) incorporates the inputs submitted from mail-in reviewers (if applicable) into a set of final peer review evaluations for the proposals. |
| 20 | Program Scientist           | Identify the membership of the Categorization Subcommittee and obtain approval of the membership from the chairperson of the Space Science Steering Committee (SSSC).   |
| 21 | Categorization Subcommittee | The Categorization Subcommittee meets to categorize the proposals based upon the peer reviews.  |
| 22 | Program                     | Develop a recommendation for selection of proposals in the  |

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|    | Scientist  | competitive range (Categories I and II) based upon categorization, program objectives, budget, and schedule.   |
| 23 | Program Scientist                                  | Present recommendations for proposal selection(s) to the SSSC which serves as a review board to ensure the adequacy, completeness, and fairness of the review and that all regulations and procedures are followed in issuing the AO, conducting the peer review, and formulating a recommendation for selection. The SSSC ensures that the selection is based upon the merits of the submitted proposals and that the selection can withstand legal scrutiny. The Senior Science Program Executive/Review and Evaluation (SSPE/R&E) is the Chairperson of the SSSC. A candidate membership list of OSS science personnel for the SSSC is approved by the Associate Administrator for Space Science, from which the Chairperson seeks a quorum (set at five, including the Chairperson). The SSSC produces a set of "findings" (which may include a recommendation for selection from the SSSC) that are then forwarded to the designated Selecting Official with all supporting evaluation materials. |
| 24 | Program Scientist<br>Designated Selecting Official | The Program Scientist submits all materials to the designated Selecting Official who selects the winning proposals and signs an appropriately constructed and detailed selection statement per the provisions of NFS 1872.503 and letters of selection and non-selection.  |
| 25 | Program Scientist                                  | Issue a Press Release identifying the selected proposal(s).  |
| 26 | Program Scientist                                  | Send notification letters to all proposal submitters to identify which proposals have been selected.   |
| 27 | Program Scientist                                  | Debrief all proposal submitters.   |
| 28 | AA for Space Science Program                       | The Associate Administrator (AA) for Space Science sends an instruction to proceed with the Program of the selected proposal(s). The Program Scientist sends a copy of the Selection Statement, Letters of Selection, and originals of the   |

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- Scientist selected proposals to the NASA Center responsible for implementing the program.
- 29 Program Scientist Establish a Program Records File consisting of all selected proposals and peer reviews of all submitted proposals.
- 30 Program Scientist Attend the initial all-hands project meeting to transfer responsibility to the Project Office.

### 7. QUALITY RECORDS

RECORD IDENTIFICATION	OWNER	LOCATION	MEDIA: ELECTRONIC OR HARDCOPY	NPG 1441.1 SCHEDULE NUMBER AND ITEM NUMBER	RETENTION/ DISPOSITION
Authorizations to Proceed	Code SR Program Support Specialist	Code SR Division Files	Hardcopy	Schedule 7, Item 8	Transfer all files to the responsible division/project 2 years after award. Records will be incorporated into the official project file, or grant/contract file.
AO Concurrence Sheets	Code SR Program Support Specialist	Code SR Division Files	Hardcopy	Schedule 7, Item 8	Transfer all files to the responsible division/project 2 years after award. Records will be incorporated into the official project file, or grant/contract file.
Announcements of Opportunity (AO's)	Code SR Program Support Specialist	Code SR Division Files	Hardcopy	Schedule 7, Item 8	Transfer all files to the responsible division/project 2 years after award. Records will be incorporated into the official project file, or grant/contract file.
NPG 7120.5 Certifications	Code SR Program Support Specialist	Code SR Division Files	Hardcopy	Schedule 7, Item 8	Transfer all files to the responsible division/project 2 years after award. Records will be incorporated into the official project file, or grant/contract file.
Copies of <i>Commerce Business Daily</i> (CBD) Notices	Code SR Program Support	Code SR Division Files	Hardcopy	Schedule 7, Item 8	Transfer all files to the responsible division/project 2 years

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	Specialist				after award. Records will be incorporated into the official project file, or grant/contract file.
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RECORD IDENTIFICATION	OWNER	LOCATION	MEDIA: ELECTRONIC OR HARDCOPY	NPG 1441.1 SCHEDULE NUMBER AND ITEM NUMBER	RETENTION/ DISPOSITION
Copies of E-mail Notifications to OSS Subscribers	Code SR Program Support Specialist	Code SR Division Files	Hardcopy	Schedule 7, Item 8	Transfer all files to the responsible division/project 2 years after award. Records will be incorporated into the official project file, or grant/contract file.
Final Summary Peer Review Evaluations	Code SR Program Support Specialist	Code SR Division Files	Hardcopy	Schedule 7, Item 9A1	File documentation with the related grant or contract file; destroy accordingly.
Minutes of Categorization Subcommittee Meetings	Code SR Program Support Specialist	Code SR Division Files	Hardcopy	Schedule 7, Item 9B1	File with related case file (grant or contract); destroy accordingly.
Minutes of SSSC Meetings	Code SR Program Support Specialist	Code SR Division Files	Hardcopy	Schedule 7, Item 9B1	File with related case file (grant or contract); destroy accordingly.
Findings of SSSC	Code SR Program Support Specialist	Code SR Division Files	Hardcopy	Schedule 7, Item 9B1	File with related case file (grant or contract); destroy accordingly.
Selection Statements	Code SR Program Support Specialist	Code SR Division Files	Hardcopy	Schedule 5, Item 14A	Destroy with related contract case file (see Item 1 of this schedule).
Notification letters of selected and non-selected proposals	Code SR Program Support Specialist	Code SR Division Files	Hardcopy	Schedule 5, Item 14A	Destroy with related contract case file (see Item 1 of this schedule).
Selected Proposals	Code SR Program Support Specialist	Code SR Division Files	Hardcopy	Schedule 5, Item 14A	Destroy with related contract case file (see Item 1 of this schedule).

[NOTE #1: These "quality records" are identified in Section 5 ("Flowchart") of this OWI via shadowing of their ANSI symbols.]

[NOTE #2: In accordance with NPG 1441.1 NASA Records Retention Schedules, "... installations' office of primary responsibility will maintain one official record copy ...; reference copies may be maintained for related work". Therefore, the "Retention" and "Disposition" aspects of quality records apply only to the one official record copy of each quality record.]

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